

# **Alabama Department of Mental Health**



## **Functional Analysis & Records Disposition Authority**

**Revision  
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# **Functional and Organizational Analysis of the Alabama Department of Mental Health**

## **Sources of Information**

- Representatives of the Alabama Department of Mental Health
- Code of Alabama 1975 § 22-50-1 through § 22-50-91
- Alabama Administrative Code Chapters 580-1-1 through 580-9-47
- Alabama Government Manual (2006), p. 356
- Alabama Department of Mental Health Annual Reports
- Alabama Department of Mental Health Audit Reports
- Alabama Department of Mental Health Obsolete Records Retention Schedules - No. 954 to 961 (created in 1982), S-65-1 to S-65-10 (created 1990-1995)
- Holdings of the Department of Archives and History for Alabama Department of Mental Health
- Government Records Division, State Agency Files (1985-ongoing)
- Alabama Department of Mental Health website

## **Historical Context**

The Alabama Department of Mental Health was created by Legislative Act 881 in 1965, but delivery of mental health services in Alabama actually predates the Civil War. In the winter of 1852, the Alabama Legislature authorized the construction of a hospital in Tuscaloosa, later to be known as Bryce Hospital in honor of its first superintendent, Dr. Peter Bryce. Bryce Hospital received its first patient, a soldier from Fort Morgan, in 1861. In 1895, U. S. Congress turned over Mt. Vernon barracks to Alabama for public use. In 1899, the Alabama Legislature decided to use Mt. Vernon to treat non-whites who were deemed insane. It was renovated for use as a hospital, and in 1919 was named for Dr. J. T. Searcy who had succeeded Dr. Bryce as superintendent in Tuscaloosa. When Dr. Searcy resigned in 1919, Dr. W. D. Partlow, who had been assistant superintendent at Bryce since 1908, was appointed to the top position over both hospitals. When the third state mental health hospital was established in 1923, it was named in Dr. Partlow's honor.

The outpatient clinic approach in Alabama began in 1949, when the first outpatients were seen and treated in the Division of Mental Hygiene (of the Alabama Department of Public Health) Clinic at Hillman in Birmingham's Medical Center. Since then, sixteen clinics and centers have been developed.

In 1963, the U.S. Congress passed Public Law 88-164 to provide for a nationwide analysis of the human and economic problems of mental illness. It was two years later, after the Division of Mental Health Planning was established in the Alabama Department of Public Health, that 354 civic leaders from across the state began meeting to compile information for a mental health plan. Financed by a federal grant, the planning project was directed toward the development of a comprehensive community mental health service for all people. Finally, in 1965, Legislative Act 881 carried out a recommendation of the Alabama Mental Health Plan for a centralized

Department of Mental Health governed by a State Mental Health Board. In 1984, the Legislature redesignated the Department of Mental Health as the Department of Mental Health and Mental Retardation. The act also created a new advisory Board of Trustees and eliminated the Alabama Mental Health Board. In light of the fact that the use of the word “retardation” is being dropped across the nation, on the state level, and by advocacy groups, the Alabama Legislature changed the agency’s name from Alabama Department of Mental Health and Mental Retardation to Alabama Department of Mental Health in 2009.

## **Agency Organization**

The Department of Mental Health’s Board of Trustees is an advisory body that coordinates activities of the department and acquaints the public with the needs and services of the department. The board is composed of sixteen members, including the Governor, the Commissioner of Mental Health, the Lieutenant Governor, the Speaker of the House of Representatives, and twelve members appointed by the Governor, one from each of the seven congressional districts and five from the state at large. One of the at large positions is selected from nominations of ARC of Alabama (formerly known as the Association for Retarded Citizens of Alabama) and one from nominations offered by the Mental Health Association of Alabama. The Governor serves as the chairman with the Commissioner of Mental Health as the secretary. The board meets quarterly with a simple majority constituting a quorum. Members serve three-year terms, with the limitation that no trustee serve more than three consecutive terms.

The department is administered by the Commissioner, who is appointed by, and serves at the pleasure of, the Governor. The Commissioner appoints three Associate Commissioners and may set up various divisions/office units within the department as needed. In addition to the department’s central office in Montgomery, the department also operates six state-owned mental illness hospitals and coordinates community-based services for people with intellectual disability through five (5) regional community service offices. It has in 2011 announced that it is now closing its last developmental center for people with intellectual disability and will be serving those consumers through community-based services.

## **Agency Function and Subfunctions**

The mandated function of the Alabama Department of Mental Health is to provide mental health services, intellectual disability services, and substance abuse treatment and prevention services for the people of Alabama. It is one of the agencies responsible for performing the Client Services function of Alabama government.

In performance of its mandated function, the Alabama Department of Mental Health may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The agency is authorized, under the Code of Alabama 1975 § 22-50-11, to “set up state plans for the purpose of controlling and treating any and all forms of mental illness and mental retardation.” The agency is also responsible for “establishing and promulgating rules, policies, orders, and regulations

providing details of carrying out its duties and responsibilities, including bylaws for its own organization, government, and procedures.”

- **Certifying Facilities.** The Code of Alabama 1975 § 22-50-17 authorizes the agency to inspect any institution/facility providing care or treatment for people suffering from mental illness, intellectual disability, or substance abuse. The agency certifies such institutions/facilities.
- **Advocating Rights and Educating the Public.** The agency provides a system of rights protection for consumers of mental health, intellectual disability, and substance abuse treatment services in Alabama. Advocacy services may include system advocacy services (i.e. rights awareness training, inter-agency collaborations, and rights compliance monitoring activities) and individual advocacy services (i.e. information and referral services, and complaint resolution services). The population served includes residents of all of the agency operated facilities, as well as individuals served in community programs certified by the agency. In addition, staff members prepare and disseminate public educational and press information about the agency’s initiatives, services, and other related activities.
- **Caring and Treating Mental Illness, Intellectual Disability, and Substance Abuse.** The agency provides a comprehensive system of outpatient and residential services for adults/children with mental illness, intellectual disability, or substance abuse. Consumers receive services through both agency operated facilities and certified community providers. In addition to making services available to individual clients, the agency’s service delivery system provides continuity of service and support for clients and their families. Service activities may include, but are not limited to, developing and implementing new initiatives/programs; supervising operations of state-owned facilities; conducting and assisting at training sessions for service providers, other government entities, and representatives of various advocacy organizations; handling consumer complaints; providing technical assistance to service providers; coordinating inter-agency collaborations; applying for outside funding; collecting and analyzing data; researching and assessing needs; monitoring performance of community providers; and sponsoring consumer events.
- **Investigating.** Besides its core functions of operating treatment facilities that frequently require clinical investigations, the department investigates criminal violations that occur within the department and refers them for prosecution.
- **Serving.** In accordance with U.S. Public Law 106-402 (Developmental Disabilities Assistance and Bill of Rights Act of 2000), the Alabama Department of Mental Health serves as the designated state agency for the Alabama Council for Developmental Disabilities. Members of the council, appointed by the governor, consist of consumers, representatives from state and local agencies, and other non-profit groups. The Council oversees activities in advocacy, capacity building, and systems change.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**Managing the Agency:** Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Mental Health**

## **Agency Record Keeping System**

The Department of Mental Health operates a hybrid record keeping system composed of paper-based, computer, and micrographics systems.

**Computer Systems:** Staff members of the Bureau of Data Management, Alabama Department of Mental Health (ADMH), operate an in-house data center. This data center houses the department's server-based applications and the telecommunications interface between the agency and the Finance Department Information Services Division's (ISD) data center. ISD maintains and operates the IBM mainframe which supports many of ADMH's large applications as documented below. The computer record keeping system consists of various electronic files maintained on electronic storage media.

ADMH utilizes the following standard applications that reside on the ISD mainframe in support of ADMH business processes: The State of Alabama's Financial Resource Management System (FRMS) is utilized to support the ADMH operations at its Central Office, five Regional Intellectual Disability Offices, and seven operational facilities. The FRMS is comprised of the Governmental Human Resource System (GHRM – Personnel & Payroll), Advantage Financial System (AFNS – Financial) and the Mental Health State-Wide Network Automated Purchasing System (MHSNAP – Purchasing).

ADMH has developed and maintains the following applications that reside on the ISD mainframe in support of the ADMH business processes: The Comprehensive Alabama Mental Health Information System (CARES – Clinical) provides ADMH management with the ability to track patient/client information for the entire period of confinement. CARES includes demographics, diagnoses, incident reporting, personal fund accounting, and census information, and has the ability to formulate user defined reports using a menu system. Additional mainframe systems include the Property Inventory System, Resident/Patient Payroll, and the Medicaid Explanation of Payments (Medicaid Payment Distribution) Interface.

ADMH has developed and maintains the following applications that reside on ADMH servers: The Alabama Community Service Information System (ACSIS), which enables the MI Community Mental Health Centers (CMHC's) to report data into the ADMH Central Data Repository (CDR); the OBRA Level 1 and 2 for nursing home admissions; MI Bed Vacancy Reservation System; ID Incident Prevention Management System (IPMS); Alabama Behavioral Health Assessment System (ABHAS); Special Residential Needs Assessment; Contract Tracking System; Life Safety Certification System; and Mental Health Worker I Register System.

ADMH developed two web-based service delivery systems that are hosted on servers in an Application Service Provider arrangement. These systems are our Alabama Substance Abuse Information System (ASAIS) and our Alabama Division of Intellectual Disabilities Information System (ADIDIS). These systems are hosted by Harmony Information Systems, Inc in Andover,

Maryland. These systems have both daily backup and archiving processes that are located at the secondary site. This recovery site is located in Burlington, Vermont. ADMH also maintains a Technology Escrow account with Iron Mountain Technology, located in Atlanta, Georgia, for both of these systems.

ADMH has purchased a pharmacy system (WORx) that resides on a combination of Dell Database and Application Servers maintained in ADMH Data Center. WORx supports all of the five operational ADMH Pharmacies currently supporting six of the seven ADMH facilities. The operational facilities having pharmacies include Bryce Hospital, Searcy Hospital, Greil Hospital, North Alabama Regional Hospital, and the W. D Partlow Developmental Center. The Bryce Hospital Pharmacy also supports the Taylor Hardin Secure Medical Facility.

Mainframe databases and associated files are routinely backed up to disk on a schedule that includes daily, weekly, monthly, quarterly, and annually as required. Copies of critical data are maintained off-site at the Alternate ISD Data Center and Greil Hospital and are rotated daily/weekly as required by the respective system(s). Information stored on ADMH file and database servers is backed up to local backup appliances which replicate with offsite backup appliances daily.

**Micrographics Systems:** W. D Partlow Developmental Center microfilms records of both discharged and current individuals. Because of the size of the records, microfilming reduces the need for storage of paper. Staff members also microfilm records created by the four (4) closed facilities.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Department of Mental Health: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Alabama Department of Mental Health are discussed below:

- **Advocacy Intakes.** An advocacy intake is a form completed by advocates to document all requests for advocacy service. It is usually one or two pages long, but can have a number of related documents attached. It is the official documentation that a request for advocacy services was received, and how the request was handled. It is kept six years in the event there are questions regarding how a request was addressed.
- **Advocacy Investigation Reports and Supporting Documents.** These are the official reports of investigations conducted by Advocacy Services. The recommended retention period is fifteen years.

- **Advocacy Services Issues Files.** These files are divided by division involving (Mental Illness/Substance Abuse and Intellectual Disabilities) and are only needed for reference for six years.
- **Paper Patient Medical Records.** The 21-year retention is based on provisions of the Code of Alabama 1975 § 6-2-8.
- **Inactive Hospital Patients Nutritional Service Files.** This series contains individual patient nutrition service files that document information on food preferences, allergies, diet orders, special dietary meal patterns and educational materials. Information is utilized to evaluate the accuracy of the contract food service provider's diet order implementation. Hospital staff retains this series for 21 years after patient's discharge.
- **Investigative Records.** These records, which include investigation case books, case files, documentary evidence not contained in case files, investigation tapes, facility case file correspondence, cumulative sanction reports and correspondence, are necessary for use in solved and unsolved cases. The agency retains the records for 21 years after the last discharge date of patient, if patient is a victim/suspect. The records are retained 10 years if the suspect is not a patient and no patient is involved in the investigation.
- **Legal Case Files.** The department requires its legal case files to be retained for 8 years after final disposition of the legal matter. Staff should contact the ADAH regarding the preservation of any future legal cases that staff deem landmark/historical. Some landmark cases, including *Bailey v. Sawyer*, *Wyatt v. Stickney*, and *Lynch v. Baxley*, will be sent to the ADAG.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Administrative Procedure Rules Filings.** The Code of Alabama 1975 § 41-22-6 mandates that each state agency should keep a permanent register of its rules and/or regulations promulgated, whether the original or a revision, and open them to public inspection.
- **Mental Health Policy and Procedure Documents.** The department's policies and procedures document how the department interacts with the public and clients. These policies and procedures are based in part on the department's administrative code entry. (Bibliographic Title: Policies and Procedures)

### **Certifying Facilities**

- **Quality Enhancement, Performance Improvement, and Medical/Clinical Committee Minutes/Reports.** These records document the actions of the committees during their meetings. Because policy may be set, minutes/reports of the meetings are necessary to

document policy and actions of the committees. **(Bibliographic Title: Meeting Minutes and Agendas of Committees; Reports)**

- **Performance Improvement Records.** These records include quarterly data reports generated by the staff of the Performance Improvement Office (Mental Illness Division) for reference by state operated/contracted mental illness facilities or/and certified community providers for performance improvement purposes. These reports are also distributed to members of the Performance Improvement Committee and other relevant authorized personnel. **(Bibliographic Title: Performance Improvement Reports)**
- **Certification Team Reports.** These records document the actions of the certification team during their meetings. Because decisions regarding certification may be made at the meetings, reports of the meetings are necessary to document policy and actions of the team. **(Bibliographic Title: Certification Team Reports)**
- **Community Provider Information (Service Data).** This information is sent in electronically and includes demographics on the recipients and details on the type, date, and amount of services provided. The agency has determined it will retain this information permanently in its office.

## **Advocating Rights and Educating the Public**

- **Annual Advocacy Activity Reports.** These reports, which are compilations of the quarterly reports, provide summary documentation of the advocacy activities of the agency. **(Bibliographic Title: Annual Advocacy Activity Reports)**
- **Advocacy Information.** The Advocacy Division conducts quality assurance for the agency, receives information, and develops reports on matters affecting treatment and care of consumers. The information in the website database is to be kept for five years as it contains information on public interaction through the website that involves routine matters. **(Bibliographic Title: Advocacy Databases)**

## **Caring and Treating Mental Illness, Intellectual Disability, and Substance Abuse**

- **Hospital Historical Records.** This series contains various documents (administrative files, photos, speech transcripts, correspondence, reports, clippings, maps/drawings, and related materials) that document, collectively, the history and development of individual hospitals and the residential developmental center. **(Bibliographic Title: Hospital Historical Records)**
- **Annual Facility Operation Plans.** This series contains annual operation plans created by individual hospitals/facilities to list new objectives for the next year. Information may include department, prioritized number of the objective, objectives, responsible staff, projected completion quarter, and status of the work. The plans should be preserved

permanently as a documentation of the hospitals/facilities. **(Bibliographic Title: Annual Facility Operation Plans)**

- **Hospital Director Administrative Files.** This series consists of administrative files of the directors of each ADMH operated hospitals. **(Bibliographic Title: Hospital Director Administrative Files)**

## **Serving**

- **Meeting Minutes of the Alabama Council for Developmental Disabilities.** These records document the actions of the council during its meetings. Because policy may be set, minutes of the meetings are necessary to document policy and actions of the council. **(Bibliographic Title: Meeting Minutes of the Alabama Council for Developmental Disabilities)**
- **Annual Reports of Council for Developmental Disabilities.** Annual reports provide the best summary documentation of the council. Many times, information is found only in these reports. **(Bibliographic Title: Annual Reports of Council for Developmental Disabilities)**

## **Administering Internal Operations**

- **Administrative Files of the Commissioner.** These files consist primarily of correspondence and subject files of the commissioner. The subject files are the files of the head of the agency that contain information on such subjects as state agencies, projects, meetings, and non-state agencies. As department head, the commissioner sets policy and procedures for the department. The administrative files document the activities and decisions of the commissioner and/or the department. **(Bibliographic Title: Administrative Files)**
- **Meeting Agendas, Minutes, and Packets of the Board of Trustees.** These records are the core documentation of the board. In many instances these minutes are the only documentation of actions of the board. **(Bibliographic Title: Minutes of the Board of Trustees)**
- **Three Year Plan.** The Wyatt lawsuit was settled in January 2000 with implementation commencing October 2000. As the Wyatt settlement drew to a close, the department created the FY03-FY05 Strategic Plan that outlines the vision and direction of the department for the next three years. **(Bibliographic Title: Strategic Plan)**
- **Healthcare Worker Task Force Records.** Governor Siegelman appointed a broad-based task force to address shortages of health care workers in Alabama. The Policy and Planning Office of Mental Health provided support to the task force, including the development of the final report. These records document the work of the task force. **(Bibliographic Title: Healthcare Worker Task Force Records)**

- **Deaf Services Task Force Records.** As part of the *Bailey v. Sawyer* Settlement Agreement, a task force was established to guide the implementation activities and to develop a plan for the provision of services to people with mental illness who are deaf or hard-of-hearing. The records document those activities and include implementation schedules, minutes of meetings, and plans for services. **(Bibliographic Title: Deaf Services Task Force Records)**
- **Agenda and Minutes of External Committees, Policy Committee, Division Coordinating Committees/Subcommittees, and Management Steering Committee.** These records document the actions taken during meetings. Because decisions and actions regarding policy may be made at the meetings, minutes and agenda of the meetings are necessary to document policy and actions of the committees. **(Bibliographic Title: Meeting Minutes and Agendas of Committees)**
- **Annual Reports.** Annual reports provide the best summary documentation of the agency. Many times, information is found only in the annual reports. **(Bibliographic Title: State Publications)**
- **Publicity and Informational Materials (includes Star Brochure, Media Guide, Brochures, Newsletters, Press Releases, and ADMH Produced Videos).** These publications document activities of the department and show how the department views its function. **(Bibliographic Title: State Publications)**
- **Website.** The department maintains a website at [www.mh.state.al.us](http://www.mh.state.al.us). Information on the website includes, but is not limited to, description of programs/service, listings of services by counties, and website links. The agency needs to preserve a complete copy of its website annually or as often as significant changes are made. **(Bibliographic Title: Website)**
- **Grant Project Final Narrative Reports.** These files are the final narrative reports of the grants managed by the department. They are necessary to document the activities of the department. **(Bibliographic Title: Grant Project Final Narrative Reports)**
- **Inventory Lists.** The Code of Alabama 1975 § 36-16-8[1] requires that “All property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office.
- **Underground Storage Tank Files.** The 1989 federal environmental law requires that all underground storage tanks meet standards or be removed or closed. The Alabama Department of Environmental Management is responsible for implementing this law. The Department of Mental Health has facilities that had/have underground tanks. The records of the removal or closure of these tanks are necessary to document compliance with the federal law. Three of the facilities had soil and/or water contamination from the tanks.

The records of these sites are necessary for on-going monitoring by Alabama Department of Environmental Management and for use by the department.

- **Mental Health Finance Authority Bond Fund Construction Files.** These records document the construction activities associated with the Mental Health Finance Authority Bond Fund. The files are necessary to document the activities. (**Bibliographic Title: Mental Health Finance Authority Bond Fund Construction Files**)
- **Uniform Service Staff Leave Records.** This series contains military leave records of agency staff. Since the Uniformed Services Employment and Reemployment Rights Act of 1994 as amended does not set a time limit for filing a complaint under the act, this series should be kept by the agency on a permanent basis for reference and other possible use in legal activities.

# **Permanent Records List**

## **Alabama Department of Mental Health**

### **Promulgating Rules and Regulations**

1. Administrative Procedure Rules Filings\*
2. Mental Health Policy and Procedure Documents

### **Certifying Facilities**

1. Quality Enhancement, Performance Improvement and Medical/Clinical Committee Minutes/Reports
2. Performance Improvement Records
3. Certification Team Reports
4. Community Provider Information (Service Data)\*

### **Advocating Rights and Educating Public**

1. Annual Advocacy Activity Reports
2. Advocacy Information

### **Caring and Treating Mental Illness, Intellectual Disability, and Substance Abuse**

1. Hospital Historical Records
2. Annual Facility Operation Plans
3. Hospital Director Administrative Files
4. Microfilmed Patient Medical Records
5. Master Patient Index\*

### **Serving**

1. Meeting Minutes of the Alabama Council for Developmental Disabilities
2. Five Year State Plans
3. Annual Reports of Council for Developmental Disabilities

### **Administering Internal Operations**

1. Administrative Files of the Commissioner
2. Minutes of the Board of Trustees
3. Three Year Plan
4. Healthcare Worker Task Force Records
5. Deaf Services Task Force Records
6. Agenda and Minutes of External Committees, Policy Committee, Division Coordinating Committees/Subcommittees, and Management Steering Committee
7. Annual Reports
8. Publicity and Informational Materials

9. Website
10. Grant Project Final Narrative Reports
11. Inventory Lists\*
12. Underground Storage Tank Files\*
13. Land Use Records
14. Mental Health Finance Authority Bond Fund Construction Files
15. Uniform Service Staff Leave Records\*

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **Alabama Department of Mental Health Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Department of Mental Health. The RDA lists records created and maintained by the Alabama Department of Mental Health in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Department of Mental Health. Copies of superseded schedules/RDAs are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

- Any record created prior to 1930 shall be regarded as permanent unless there is a specific action by the State Records Commission to authorize its destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Alabama Department of Mental Health and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **Promulgating Rules and Regulations**

#### **Administrative Code Books**

Disposition: Temporary Record. Retain until superseded.

#### **ADMINISTRATIVE PROCEDURE RULES FILINGS**

Disposition: PERMANENT RECORD. Retain in office.

#### **MENTAL HEALTH POLICY AND PROCEDURE DOCUMENTS**

Disposition: PERMANENT RECORD.

### **Certifying Facilities**

#### **Comprehensive Alabama Mental Health Information System (CARES) Reports, WORx Data Download Files**

Disposition: Temporary Record. Retain for useful life.

#### **Community Provider Special Incident Reports, Abuse/Neglect Follow-up Reports, Death Reports/Autopsies and Death Follow-up Reports, Community Provider PI Indicator Reports/Forms/Summaries, Advocacy Monitoring Visit Reports, Regional Consumer Satisfaction Survey, Consumer Return from Temporary Visit or Readmission Reports/Reviews**

Disposition: Temporary Record. Retain 3 years.

#### **Community Mental Health Statistical Improvement Program and Other Community Consumer/Family Satisfaction/Quality of Life Survey Results**

Disposition: Temporary Record: Retain 6 years

#### **Community Transitioning Project /Regional Performance Improvement Reports to Board of Supervisors and Other Authorized Personnel.**

Disposition: Temporary Record: Retain 5 years after transitioning projects are completed.

**Performance Improvement Databases**

Disposition: Temporary Record: Retain 10 years after the database is no longer in service.

*(The MI PI Office utilizes a number of different Access/Excel databases to enter data collected from PI indicators for both community providers and state operated facilities. This information is used to track and compare data over time related to performance measures and activities.)*

**Routine Performance Improvement Related Records**

Disposition: Temporary Record. Retain 3 years.

**Performance Improvement Training Materials and Presentations**

Disposition: Temporary Record. Retain for useful life.

**QUALITY ENHANCEMENT, PERFORMANCE IMPROVEMENT AND MEDICAL/CLINICAL COMMITTEE MINUTES/REPORTS**

Disposition: PERMANENT RECORD.

**Performance Improvement Task Force/Ad Hoc Subcommittee Meeting Files and Work Products**

Disposition: Temporary Record. Retain 3 years.

**PERFORMANCE IMPROVEMENT RECORDS**

Disposition: PERMANENT RECORD.

**Joint Commission/Center for Medicare/Medicaid Services Accreditation Reports, Mock Survey Reports, and Facility Governing Body Plans/Documents**

Disposition: Temporary Record. Retain until superseded.

**Mental Illness Division Joint Evaluation/Assessment Analysis Reports**

Disposition: Temporary Record. Retain 6 years.

**CERTIFICATION TEAM REPORTS**

Disposition: PERMANENT RECORD.

**Community Provider Information**

a. SERVICE DATA

Disposition: PERMANENT RECORD. Retain in office.

b. Other community provider information (not service data)

Disposition: Temporary Record. Retain 10 years.

**Medicaid Enrollment Forms**

Disposition: Temporary Record. Retain 5 years.

**Special Incident/Abuse/Neglect Reports and Consumer/Family Member Complaints**

Disposition: Temporary Record. Retain 6 years or until close of investigation, whichever is longer.

**Nursing Home Approvals**

Disposition: Temporary Record. Retain 6 years.

**Advocating Rights and Educating the Public****Advocacy/Facility/Community Correspondence**

Disposition: Temporary Record. Retain 6 years.

**Community Monitoring Reports**

Disposition: Temporary Record. Retain 6 years.

**Community Certification Reports**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Facility External Certification Reports**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Access Line Phone Logs/Intakes**

Disposition: Temporary Record. Retain 3 years.

**Advocacy Investigation Appeal Reports**

Disposition: Temporary Record. Retain 15 years.

**Advocacy Services Copy of Investigation Summaries from Bureau of Special Investigations**

Disposition: Temporary Record. Retain 6 years.

**BSI Case Status Reports**

Disposition: Temporary Record. Retain 2 years.

**Advocacy Litigation Files**

Disposition: Temporary Record. Retain 6 years after final disposition of case.

**Mailouts to Advocates Files**

Disposition: Temporary Record. Retain 6 years.

**Advocate Staff Meeting Files**

Disposition: Temporary Record. Retain 6 years.

### **Advocacy Intakes**

- a. Advocate's Copy  
Disposition: Temporary Record. Retain 6 years.
- b. Central Advocacy Office Copy  
Disposition: Temporary Record. Retain 3 years.

### **Monthly Advocacy Activity Reports**

- a. Advocate's Copy  
Disposition: Temporary Record. Retain 6 years.
- b. Central Advocacy Office Copy  
Disposition: Temporary Record. Retain for useful life.

### **Quarterly Advocacy Activity Reports**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **ANNUAL ADVOCACY ACTIVITY REPORTS**

Disposition: PERMANENT RECORD.

### **Investigation Reports and Supporting Documents**

- a. Advocate's Copy  
Disposition: Temporary Record. Retain 15 years.
- b. Central Advocacy Office Copy  
Disposition: Temporary Record. Retain 6 years.

### **Advocacy Special Incident Reports**

Disposition: Temporary Record. Retain 6 years.

### **Advocacy Incident Reports**

- a. Central Advocacy Office Copy  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Commissioner's Office Copy  
Disposition: Temporary Record. Retain for useful life.

### **Advocacy Special Reviews/Investigations**

Disposition: Temporary Record. Retain 15 years.

**Facility Monitoring Reports**

Disposition: Temporary Record. Retain 6 years.

**Community Program Monitoring Reports**

Disposition: Temporary Record. Retain 6 years.

**Food Service Committee Files**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Abuse/Neglect Reports from Department of Human Resources**

Disposition: Temporary Record. Retain 6 years.

**Advocacy Services Issues Files (Illness, Intellectual Disability, Substance Abuse)**

Disposition: Temporary Record. Retain 6 years.

**Treatment Court Files**

Disposition: Temporary Record. Retain 6 years.

**Advocacy Information**

- a. DATABASES TRACKING NUMBER AND TYPES OF COMPLAINTS AND AUBSES

Disposition: PERMANENT RECORD.

- b. Website Database

Disposition: Temporary Record. Retain 5 years.

**Caring and Treating Mental Illness, Intellectual Disability, and Substance Abuse**

*\* The following records created by various hospitals, the intellectual disability center, and other units within the agency may not be comprehensive. Please utilize the retention guidelines that match each series of records under your care.*

**Central Office****Nursing Home Referrals and Determinations**

Disposition: Temporary Record. Retain 1 month.

**Patient Evaluations and Determinations**

Disposition: Temporary Record. Retain 5 years from last evaluation or 6 months after death.

**Patient Categorical Referrals**

Disposition: Temporary Record. Retain 1 year.

**Patient QA Reviews**

Disposition: Temporary Record. Retain 2 years.

**Patient Clinical Review Evaluations and Determinations**

Disposition: Temporary Record. Retain 2 years.

**Nursing Home Placement Reports**

Disposition: Temporary Record. Retain 1 year.

**Substance Abuse/Community Services Records**

- a. Vouchers, Contracts and Amendments, Budgets, Certification Files, Prevention Files, and Coordinating Subcommittee Minutes

Disposition: Temporary Record. Retain 6 years.

- b. Waiting Lists and Methadone Waivers

Disposition: Temporary Record. Retain 3 years.

**Intellectual Disability Developmental Center****Advocacy Records**

Disposition: Temporary Record. Retain 5 years.

**Sheltered Workshop Payroll Register**

Disposition: Temporary Record. Retain 3 years.

**Community Voucher Files**

Disposition: Temporary Record. Retain 6 years.

**Client Certifications and Admissions Records**

Disposition: Temporary Record. Retain 5 years after individual is discharged.

**Client Financial Records**

Disposition: Temporary Record. Retain 10 years.

**Assessment Tracking Records**

Disposition: Temporary Record. Retain 1 year.

**Significant Behavior Sheets (SBS)**

Disposition: Temporary Record. Retain 3 years.

**Client Dental Records (including dental films)**

Disposition: Temporary Record. Retain 10 years after death.

**Nutritional Assessment**

Disposition: Temporary Record. Retain 3 years.

**Diet/Food Records (Fluid Intake Monitoring Form, Food Service Monitoring, Food Intake Record, Calorie Count, Supplement Record, Between Meal Snack, Monitoring Reports)**

Disposition: Temporary Record. Retain 1 year.

**Behavior Intervention Records**

- a. Minutes and IQ test booklets  
Disposition: Temporary Record. Retain 21 years after the patient is discharged from the agency's facility.
- b. Adapted Behavior Scale (ABS) Booklets  
Disposition: Temporary Record. Retain 21 years after the patient is discharged from the agency's facility.

**Health Services Records (nurse schedules, sign-in forms, supervisor rounds report, shift reports, infection control committee minutes, clinic log, medical information sheets, infirmary admission log, staff competency verifications, nurse-to-nurse communications log, doctor communications log)**

Disposition: Temporary Record. Retain 5 years.

**Drug Records**

- a. Pharmacy inventory, drug destruction, doctor's medication orders, medication fill lists, drug invoices, controlled drugs signature logs  
Disposition: Temporary Record. Retain 5 years.
- b. Quarterly drug regime reviews per client  
Disposition: Temporary Record. Retain 3 years.
- c. Annual drug regime reviews per client  
Disposition: Temporary Record. Retain 21 years.

**Program Services Records**

- a. Test Instruments  
Disposition: Temporary Record. Retain until completion of next testing period.
- b. Data sheets, assessment logs, process notes, schedules, meeting minutes, on-call reports, and training records  
Disposition: Temporary Record. Retain 2 years.
- c. Called team meeting appointment books, active treatment reports, notification of IPP changes, functional schedules  
Disposition: Temporary Record. Retain 1 year.

- d. Records of persons centered planning meetings  
Disposition: Temporary Record. Retain 3 years.
- e. Monthly provider data sheets (verifies services were provided to individuals)  
Disposition: Temporary Record. Retain 1 year.
- f. Program Services monthly report  
Disposition: Temporary Record. Retain 6 years.

### **Residential Services Records**

- a. Log/shift report, bed-check sheets, client accountability sheets, coverage sheets, ant check sheets, and supervisory rounds reports  
Disposition: Temporary Record. Retain 3 years.
- b. Shoe clinic logs, rounds reports, sleep check sheets, toilet schedules, and residential services  
Disposition: Temporary Record. Retain 1 year.
- c. Off Campus Forms  
Disposition: Temporary Record. Retain 3 years.
- d. Weekly Vehicle Checklist  
Disposition: Temporary Record. Retain 3 years.

### **Developmental Center Policies and Procedures**

Disposition: Temporary Record. Retain 21 years after being superseded.

### **Developmental Center Policies and Procedures Memorandum**

Disposition: Temporary Record. Retain 21 years.

### **Laboratory Records**

Disposition: Temporary Record. Retain 2 years.

### **Laundry Reports**

Disposition: Temporary Record. Retain 2 months.

### **Warehouse Issue Requests**

Disposition: Temporary Record. Retain 3 years.

### **Maintenance and Housekeeping Records**

Disposition: Temporary Record. Retain 1 year.

## **Infection Control Records Monthly**

- a. Infection Reports  
Disposition: Temporary Record. Retain 5 years.
- b. Monthly Environmental Rounds Monitoring Reports  
Disposition: Temporary Record. Retain 5 years.
- c. Initial Quarterly Reports on Individuals to Hospital  
Disposition: Temporary Record. Retain 5 years.
- d. Employee Injury Reports  
Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred (Code of Alabama 1975 § 25-5-4).
- e. Employee Annual Tuberculosis Skin Test Reports (and chest x-ray if skin test is positive)  
Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred (Code of Alabama 1975 § 25-5-4).
- f. Employee Hepatitis B Program Records  
Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred (Code of Alabama 1975 § 25-5-4).

## **Mental Illness Hospitals: General Administration**

### **HOSPITAL HISTORICAL RECORDS**

Disposition: PERMANENT RECORD.

### **ANNUAL FACILITY OPERATION PLANS**

Disposition: PERMANENT RECORD.

### **HOSPITAL DIRECTOR ADMINISTRATIVE FILES**

Disposition: PERMANENT RECORD.

### **Monthly or Regular Staff Meeting Minutes/Notes**

Disposition: Temporary Record. Retain 3 years.

### **Routine Correspondence, Memoranda, Note Cards, and Logs**

Disposition: Temporary Record. Retain 3 years.

### **Contract Employee Personnel Competency Files**

Disposition: Temporary Record. Retain 3 years after separation of employee from the agency.

## **Mental Illness Hospitals: Medical Services**

### **Patient Medical Records**

- a. Paper Patient Medical Records  
Disposition: Temporary Record. Retain 21 years after the patient is discharged from the agency's facility.
- b. MICROFILMED PATIENT MEDICAL RECORDS  
Disposition: PERMANENT RECORD.

### **MASTER PATIENT INDEX**

Disposition: PERMANENT RECORD. Retain in office.

### **Clinic Patient Appointment Schedules**

Disposition: Temporary Record. Retain 8 years.

### **Clinic Patient Attendance Logs**

Disposition: Temporary Record. Retain 8 years.

### **Performance Improvement Data Reports (collection of data necessary to produce performance improvement reports which are used to evaluate medical case services provided by staff and/or contract providers)**

Disposition: Temporary Record. Retain 8 years.

### **Medical Equipment Preventive Maintenance Records (records document adherence to guidelines for the performance of regular routine maintenance on medical equipment and/or facilities, such as x-ray machines)**

Disposition: Temporary Record. Retain 6 years.

### **Requisitions for X-Ray Examinations (document requests for X-Ray examinations – a copy of the record is also filed in the patient's medical case files for longer retention)**

Disposition: Temporary Record. Retain 2 years.

### **Examination (such as X-Ray, EKGs) Films, Reports, and Logs**

Disposition: Temporary Record. Retain 5 years.

### **Hospital Patient Death Summaries**

Disposition: Temporary Record. Retain 3 years.

### **Hospital Equipment and Supply Checklists (records document required daily equipment checks and stocking of supplies)**

Disposition: Temporary Record. Retain 8 years.

**Monthly Crash Cart Monitoring Reports (records document required monthly crash cart monitoring)**

Disposition: Temporary Record. Retain 2 years.

**Medical Equipment Proficiency Testing Reports**

Disposition: Temporary Record. Retain 2 years.

**Mental Illness Hospitals: Infection Control**

**Communication of Identified Infection or Disease (reports of infection/disease identified by the staff after admission to the hospital or discharge to another hospital)**

Disposition: Temporary Record. Retain 3 years.

**Infection/Disease Outbreak Case Files (documents a specific case finding and monitoring process – copies sent to the Department of Public Health)**

Disposition: Temporary Record. Retain 3 years.

**Mental Illness Hospitals: Nutritional Services**

**Inactive Hospital Patients Nutritional Service Files (files contain all known food preference, allergies, diet orders, special meal patterns, custom-made educational materials for each patient)**

Disposition: Temporary Record. Retain 21 years after the patient is discharged from the agency's facility.

**Weekly Patient Diet and Snack Listings**

Disposition: Temporary Record. Retain 3 months.

**Monthly Hospital Dining Room Inspection Reports**

Disposition: Temporary Record. Retain 3 months.

**Weekly Meal Service Evaluation Reports**

Disposition: Temporary Record. Retain 1 year.

**Weekly Meal Service Incident Reports**

Disposition: Temporary Record. Retain 1 year.

**Monthly Dietitians' Reports**

Disposition: Temporary Record. Retain 1 year.

**Monthly Contract Food Service Invoices**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Food Service Contract Employee Personnel Files**

Disposition: Temporary Record. Retain 3 years after separation of service.

### **Mental Illness Hospitals: Nursing Services**

#### **“On Ward” Accountability Checklists (records of accountability for patients’ location and condition within the hospital)**

Disposition: Temporary Record. Retain 3 years.

#### **Hospital Nurse/Worker Assignment Sheets**

Disposition: Temporary Record. Retain 3 months.

#### **Ward Reports (24-Hour Shift) (documents relating to reportable events on patients by staff)**

Disposition: Temporary Record. Retain 3 months.

### **Mental Illness Hospitals: Utilization Review**

#### **Admission Certification Review Files (files relating to the hospital staff’s efforts in reviewing and certifying patients for admission under federal guidelines)**

Disposition: Temporary Record. Retain 2 years.

#### **Notices of Non-Coverage**

Disposition: Temporary Record. Retain 2 years.

#### **Monthly/Quarterly Utilization Review Management Reports**

Disposition: Temporary Record. Retain 2 years.

#### **Denial of Service Records**

Disposition: Temporary Record. Retain 2 years.

### **Investigating**

#### **Investigative Records (Investigations Case Book, Case Files, Documentary Evidence Not Contained in Case File, Investigation Tapes, Facility Case File Correspondence Not Contained in Case Files, Cumulative Sanction Report Correspondence)**

Disposition: Temporary Record. Retain for 21 years after the last discharge date of patient, if patient is victim/suspect. Retain 10 years if suspect is not patient and no patient is involved in investigation.

#### **Assignment of Cases**

Disposition: Temporary Record. Retain 3 years.

#### **Criminal Cases Status Reports**

Disposition: Temporary Record. Retain 10 years.

#### **Facility Disposition Sheets**

Disposition: Temporary Record. Retain 3 years.

**Investigative Inventory Files**

Disposition: Temporary Record. Retain 2 years.

**Comprehensive Security Survey**

Disposition: Temporary Record. Retain 3 years.

**Uniform Crime Reports**

Disposition: Temporary Record. Retain 10 years.

**Appointment Documents/Agent in Charge**

Disposition: Temporary Record. Retain 5 years.

**On-Call List**

Disposition: Temporary Record. Retain 1 year.

**Bomb Threat Procedures**

Disposition: Temporary Record. Retain 2 years after superseded.

**Serving****MEETING MINUTES OF THE ALABAMA COUNCIL FOR DEVELOPMENTAL DISABILITIES**

Disposition: PERMANENT RECORD.

**FIVE YEAR STATE PLANS**

Disposition: PERMANENT RECORD.

**ANNUAL REPORTS OF COUNCIL FOR DEVELOPMENTAL DISABILITIES**

Disposition: PERMANENT RECORD.

**Administering Internal Operations: Managing the Agency****ADMINISTRATIVE FILES OF THE COMMISSIONER**

Disposition: PERMANENT RECORD.

**Correspondence of the Commissioner (if not filed in Administrative Files or with other records listed in RDA)**

Disposition: Temporary Record. Retain 6 years.

**Directives of the Commissioner, Governor, and Finance Director**

Disposition: Temporary Record. Retain 1 year after being superseded.

**MEETING AGENDAS, MINUTES, AND PACKETS OF THE BOARD OF TRUSTEES**

Disposition: PERMANENT RECORD.

**Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by the Agency**

Disposition: Temporary Record. Retain 3 years.

**Administrative Files of the Board of Trustees**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Administrative Reference Files (materials not created by the agency, collected and used only as reference sources of information)**

Disposition: Temporary Record. Retain for useful life.

**THREE YEAR PLAN**

Disposition: PERMANENT RECORD.

**HEALTHCARE WORKER TASK FORCE RECORDS**

Disposition: PERMANENT RECORD.

**DEAF SERVICES TASK FORCE RECORDS**

Disposition: PERMANENT RECORD.

**Legal Case Files**

Disposition: Temporary Record. Retain 8 years after final disposition of the legal matter.

*\* Note: Please contact the ADAH regarding the preservation of any future legal cases that staff deem landmark/historical.*

**Recovery Conference Records**

Disposition: Temporary Record. Retain 5 years.

**Support Group Files**

Disposition: Temporary Record. Retain 5 years.

**Drop-in Center Files**

Disposition: Temporary Record. Retain 6 years.

**Board of Trustees Appointment Letters**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

**Routine Correspondence (correspondence not listed elsewhere in RDA)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Document Tracking Records**

Disposition: Temporary Record. Retain 3 months after creation of document it tracks.

### **Commissioner's Office Constituent Files**

- a. Files Documenting Adult Constituents  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Files Documenting Non-Adult Constituents  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created or until constituent reaches age of majority, whichever is longer.

### **Calendars (if document activity of employee)**

Disposition: Temporary Record. Retain 1 year.

### **Mailing Lists**

Disposition: Temporary Record. Retain for useful life.

### **Telephone Logs**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Agenda and Minutes**

- a. AGENDA AND MINUTES OF EXTERNAL COMMITTEES, POLICY COMMITTEE, DIVISION COORDINATING COMMITTEES/SUBCOMMITTEES, AND MANAGEMENT STEERING COMMITTEE  
Disposition: PERMANENT RECORD.
- b. Records documenting meetings of subsidiary committees within the agency  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- c. Recordings of Meetings  
Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

### **Planning Files**

Disposition: Temporary Record. Retain until superseded.

### **Reports**

- a. ANNUAL REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting reporting of activities by division or locale on a periodic basis  
Disposition: Temporary Record. Retain 3 years.

- c. Other summarized statistical and/or narrative reports  
Disposition: Temporary Record. Retain 6 years.

### **Guardianship Records**

Disposition: Temporary Record. Retain 20 years after end of guardianship.

### **Attorney General Legal Opinions**

Disposition: Temporary Record. Retain for useful life.

### **Legislative Files**

Disposition: Temporary Record. Retain 5 years.

### **Board of Adjustment Claims**

Disposition: Temporary Record. Retain 5 years.

### **Health Insurance Portability and Accountability Act (HIPAA) Legal Analysis Records and Notice of Privacy Practices**

Disposition: Temporary Record. Retain 6 years.

### **Health Insurance Portability and Accountability Act (HIPAA) Gap Analyses and Privacy Risk and Security Assessments, and Remediation Reports**

Disposition: Temporary Record. Retain until superseded.

### **PUBLICITY AND INFORMATIONAL MATERIALS (includes Star Brochure, Media Guide, Brochures, Newsletters, Press Releases, Photographs, and DMH Produced Videos)**

Disposition: PERMANENT RECORD.

### **Internal Operating Procedures**

Disposition: Temporary Record. Retain 3 years after superseded.

### **Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, annual reports to the State Records Commission)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Copy of RDA**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

### **System Documentation (hardware/software manuals and diskettes, and warranties)**

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

## **WEBSITE**

Disposition: PERMANENT RECORD. Preserve a complete copy of website annually or as often as significant changes are made.

## **Administering Internal Operations: Managing Finances**

### **Performance Based Budgeting Documents**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created and verify that the records are duplicated in the records sent to the Finance Director.

### **Indirect Cost Allocation Plan**

Disposition: Temporary Record. Retain 4 years after completion of the Federal/Single audit for the years involved and resolution of all audit issues.

### **Records Documenting Bond Interest Paid on State Bonds**

Disposition: Temporary Record. Retain 4 years after completion of the Federal/Single audit for the years involved and resolution of all audit issues.

### **Records documenting grants**

- a. GRANT PROJECT FINAL NARRATIVE REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting routine grant activities and compliance with grant program requirements  
Disposition: Temporary Record. Retain 4 years after the end of the grant.

### **Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Records documenting the bid process, including requests for proposals and unsuccessful responses**

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

- b. Duplicate copies of bid (originals are maintained by the Department of Finance)  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting requests for authorization to travel on official business and other related materials, such as travel reimbursement forms and itineraries**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting contracts for services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of contract (Code of Alabama 1975 § 6-2-34).

**Agency Audit Reports**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Administering Internal Operations: Managing Human Resources**

**Records documenting job recruitment**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Position Classification Files**

Disposition: Temporary Record. Retain 4 years after position is reclassified.

**Records documenting job description**

Disposition: Temporary Record. Retain until superseded.

**Certification/Personnel Transaction Files**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Records documenting merit system registers**

Disposition: Temporary Record. Retain 5 years.

**Records documenting application for employment**

Disposition: Temporary Record. Retain 2 years.

**Black Applicant Report**

Disposition: Temporary Record. Retain 3 years.

**Records documenting an employee's work history - generally maintained as a case file**

- a. Records documenting work history of employees  
Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.
- b. Records, located within divisions or bureaus, which document an employee's work history  
Disposition: Temporary Record. Retain 1 year after separation of employee from the agency.

**Records documenting payroll (e.g. pre-payroll report, payroll check registers)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting payroll deduction authorizations (includes payroll drop cards)**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting payroll deductions for tax purposes (including Form 941)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting employees' daily and weekly work schedules**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**UNIFORM SERVICE STAFF LEAVE RECORDS**

Disposition: PERMANENT RECORD. Retain in office.

**Records documenting sick leave donations**

Disposition: Temporary Record. Retain 5 years.

**Family Medical Leave Act Files**

Disposition: Temporary Record. Retain 5 years after separation of the employee from the agency.

**Random Drug Testing List**

Disposition: Temporary Record. Retain 1 year.

**Records documenting final leave status**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Records documenting continuing education/training of agency employees**

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

**Continuing Education Certification and Approval Files and Training Program Files (includes HIPAA training)**

Disposition: Temporary Record. Retain 6 years.

**Continuing Education Applications and Requests**

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

**Training Plans**

Disposition: Temporary Record. Retain 6 years.

**Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)**

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints.

**State Employees Injury Compensation Trust Fund Files**

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Worker Compensation Injury and Settlement Reports**

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred (Code of Alabama 1975 § 25-5-4).

**Unemployment Compensation Quarterly Report**

Disposition: Temporary Record. Retain 6 years.

## **Administering Internal Operations: Managing Properties, Facilities, and Resources**

### **Communication System Records (not accounting)**

Disposition: Temporary Record. Retain 5 years.

### **Real Property Leasing/Rental Records**

Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

### **Records documenting reporting on real property**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Records of Estates**

Disposition: Temporary Record. Retain 5 years.

## **INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16- 8[1]).

### **Transfer of State Property Forms (SD-1) (Agency Copies)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Property Inventory Cards and/or Computer Files**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Receipts of Responsibility for Property**

Disposition: Temporary Record. Retain until return of item to property manager.

### **Records documenting security of facilities**

- a. Records documenting routine administrative functions of security  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Records documenting incidents occurring on facilities  
Disposition: Temporary Record. Retain 3 years after resolution of incident.

### **Records documenting maintenance of vehicle and equipment**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is removed from the inventory.

### **Records documenting use of the Motor Pool**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting use of parking (applications, parking permits, cards)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting construction and/or repair of department buildings and property**

Disposition: Temporary Record. Retain for life of structure.

**UNDERGROUND STORAGE TANK FILES**

Disposition: PERMANENT RECORD.

**LAND USE RECORDS (Land Use Plan, County Files, and Property Files)**

Disposition: PERMANENT RECORD.

**MENTAL HEALTH FINANCE AUTHORITY BOND FUND CONSTRUCTION FILES**

Disposition: PERMANENT RECORD.

**Administrative Files of the Mental Health Finance Authority**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Forestry Files**

Disposition: Temporary Record. Retain 10 years.

## **Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)**

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Department of Mental Health (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the agency should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this revision to the Records Disposition Authority on April 24, 2013.

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Steve Murray, Chairman  
State Records Commission

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Date

Receipt acknowledged:

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Jim Reddoch, Commissioner  
Alabama Department of Mental Health

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Date